



Express Mail No. EL897865636US

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Christoph Reinhard et al.
Application No. : 09/851,670
Filed : May 8, 2001
For : AKT3 INHIBITORS

Docket No. : PP-01699.002/200130.520

Date : August 31, 2001

Box Missing Parts
Commissioner for Patents
Washington, DC 20231

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION

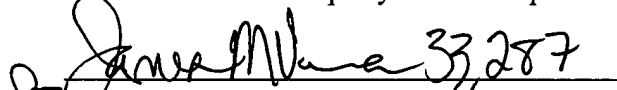
Commissioner for Patents:

In response to the Notice to File Missing Parts dated July 18, 2001, please find enclosed the following documents:

- ✓ Fee
- ✓ PTO/SB/21
- ✓ PTO/SB/17 (+ copy)
- ✓ Declaration (2)
- ✓ Copy of Notice to File Missing Parts
- ✓ Sequence Listing (7 pages)
- ✓ Declaration re sequence listing
- ✓ Preliminary Amendment re sequence listing
- ✓ Diskette re sequence listing
- ✓ Certificate Under 37 C.F.R. § 3.73(b)
- ✓ Copy of Assignment Recordation for S/N 60/203,543 (7 pages)
- ✓ Information Disclosure Statement
- ✓ PTO-1449 (1 page)
- ✓ Cited References (10)
- ✓ Postage-paid return postcard

Respectfully submitted,

Seed Intellectual Property Law Group PLLC


Jane E. R. Potter
Registration No. 33,332





EXPRESS MAIL NO. EL897865636US

PATENT

U.S. Application Serial No. 09/851,670

Attorney Docket No. PP-01699.002/200130.520

CERTIFICATE UNDER 37 C.F.R. § 3.73(b)

Applicants: Christoph Reinhard et al.

Application No.: 09/851,670 Filed: May 8, 2001

For: AKT3 INHIBITORS

Chiron Corporation, a Corporation
(Name of Assignee) (Type of Assignee, e.g., corporation,
partnership, government agency, etc.)

certifies that it is the assignee of the entire right, title and interest in the patent application identified above by virtue of either:

- A. ☒ An assignment from inventors of the patent application identified above. The patent application identified above claims the benefit of Provisional Application No. 60/203,543 filed May 10, 2000, wherein an Assignment was recorded in the Patent and Trademark Office on April 30, 2001 at Reel 011759, Frame 0868, (copy enclosed).
- B. ☐ A chain of title from the inventor(s), of the patent application identified above, to the current assignees as shown below:
1. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at Reel _____
Frame _____ or for which a copy thereof is attached.
 2. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at Reel _____
Frame _____ or for which a copy thereof is attached.
 3. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at Reel _____
Frame _____ or for which a copy thereof is attached.
- ☐ Additional documents in the chain of title are listed on a supplemental sheet.
- ☒ Copies of assignments or other documents in the chain of title are attached.

The undersigned has reviewed all the documents in the chain of title of the patent application identified above and, to the best of undersigned's knowledge and belief, title is in the assignee identified above.

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Date: August 10, 2001

Name: Kimberlin L. Morley

Title: Assistant Secretary, CHIRON CORPORATION

Signature: Kimberlin Morley

Express Mail **EL897865636US**

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/851,670	05/08/2001	Christoph Reinhard	PP-01699.002 / 200130.520

CONFIRMATION NO. 3261

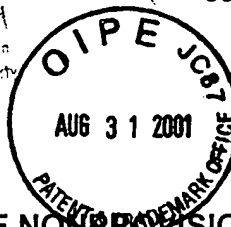
Chiron Corporation
Intellectual Property R338
P.O. Box 8097
Emeryville, CA 94662-8097

JUL 2001
Received
Chiron Corporation
Intellectual Property

FORMALITIES LETTER



OC000000006311142



Date Mailed: 07/18/2001

NOTICE TO FILE MISSING PARTS OF NON-PROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**
- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

09/06/2001 SDENBOB1 00000111 09851670

01 FC:105

130.00 OP

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at

patin21help@uspto.gov or patin3help@uspto.gov

A copy of this notice MUST be returned with the reply.

Ahmad

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY



09-04-01

P.A.

Sector #

Express Mail No. EL897865636US

PTO/SB/21 (08-00)

Please type a plus sign (+) inside this box → ☐

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL
FORM

(To be used for all correspondence after initial filing)


Application Number	09/851,670
Filing Date	May 8, 2001
First Named Inventor	Christoph Reinhard
Group Art Unit	
Examiner Name	
Attorney Docket No.	PP-01699.002/200130.520

ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement; Form PTO-1449 <input checked="" type="checkbox"/> Cited References (10) <input type="checkbox"/> Certified Copy of Priority Document(s) <input checked="" type="checkbox"/> Response to Missing Parts under 37 C.F.R. 1.52 or 1.53 <input type="checkbox"/> Response to Missing Parts/Incomplete Application	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Request for Corrected Filing Receipt <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation, Change of Correspondence Address <input checked="" type="checkbox"/> Declaration (2) <input checked="" type="checkbox"/> Statement under 37 CFR 3.73(b) <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> Request for Refund	<input type="checkbox"/> CD(s), Number of CD(s) _____ <input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Return Receipt Postcard <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below): <u>Copy of Notice to File Missing Parts; Sequence Listing (7 pages); Declaration re sequence listing; Preliminary Amendment re sequence listing; Diskette re sequence listing; Copy of Assignment Recordation (7 pages)</u>
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Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Individual Name	Jane E. R. Potter	 00500 PATENT TRADEMARK OFFICE
Signature	by James M. V. 33,287	
Date	August 31, 2001	

(JEP:caw) #203228

**FEE TRANSMITTAL
for FY 2001**

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 130.00**Complete if Known**

Application Number	09/851,670
Filing Date	May 8, 2001
First Named Inventor	Christoph Reinhard
Examiner Name	
Group Art Unit	
Attorney Docket No.	PP-01699.002/200130.520

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
- Deposit Account Number: 19-1090
- Deposit Account Name: Seed Intellectual Property Law Group PLLC
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 and credit any overpayment to Deposit Account Number above.
- ☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:
- ☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION**1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	710	201	355	Utility filing fee	
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	
SUBTOTAL (1)					(\$) 0

2. EXTRA CLAIM FEES

		Extra Claims	Fee from below	Fee Paid
Total Claims		** =	X	=
Independent Claims		** =	X	=
Multiple Dependent			X	=

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 0

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity		Small		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - late filing fee or oath	130
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	130	123	130	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 130.00

SUBMITTED BY

Name (Print/Type)	Jane E. R. Potter	Registration No. Attorney/Agent	33,332
Firm Name/Address			
Signature	by James M. Potter 33,332	Date	August 31, 2001



00500

PATENT TRADEMARK OFFICE